



123

AF/1647

PTO/SB/21 (08-03)

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>		Application Number	08/971,172
		Filing Date	November 14, 1997
		First Named Inventor	Goodman, Corey S
		Art Unit	1647
		Examiner Name	S. Turner
Total Number of Pages in This Submission	8	Attorney Docket Number	18941H-002910US

RECEIVED  
MAR 02 2004

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address (1 pg.) <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return Postcard; Statement Under 37 CFR 3.73(b) attaching copy of recorded Assignment as exhibit (6 pgs).
Remarks		The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual	Townsend and Townsend and Crew LLP Kevin Bastian Reg. No. 34,774
Signature	
Date	02/24/2004

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Typed or printed name	Dana Kane	Date	02/24/2004
Signature			



**REVOCATION OF POWER OF  
ATTORNEY WITH  
NEW POWER OF ATTORNEY  
AND  
CHANGE OF CORRESPONDENCE ADDRESS**

Application Number	08/971,172
Filing Date	November 14, 1997
First Named Inventor	Goodman, Corey S
Art Unit	1647
Examiner Name	S. Turner
Attorney Docket Number	18941H-002910US

I hereby revoke all previous powers of attorney given in the above-identified application:

**RECEIVED**

☐ A Power of Attorney is submitted herewith.

**MAR 02 2004**

OR

☒ I hereby appoint the practitioners associated with the Customer Number:

**20350**

☒ Please change the correspondence address for the above-identified application to:

☒ The address associated with  
Customer Number:

**20350**

OR

<input type="checkbox"/> Firm or Individual Name					
Address					
Address					
City		State		ZIP	
Country					
Telephone		Fax			

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

**SIGNATURE of Applicant or Assignee of Record**

Name	CAROL MINUZZA		
Signature	Carol Minuza		
Date	2/23/04	Telephone	510/643-7201

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ \*Total of \_\_\_\_\_ forms are submitted.



PTO/SB/96 (08-03)

Attorney Docket No. 18941H-002910US  
Client Ref. No. B98-006-2

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Corey S Goodman, et. al.Application No./Patent No.: 08/971,172Filed/Issue Date: November 14, 1997Entitled: A NOVEL FAMILY OF POLYPEPTIDES AND NUCLEIC ACIDSThe Regents of the University of California, a University

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 9036, Frame 0503, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

(NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8)

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

2/23/04

Date

(510) 643-7201

Telephone number

CAROL MINNAH

Typed or printed name

Carol Minnah

Signature

DIRECTOR, OTL

Title



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

MAY 14, 1998

PTAS

RICHARD ARON OSMAN  
75 DENISE DRIVE  
HILLBOROUGH, CA 94010



\*100667696A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/13/1998

REEL/FRAME: 9036/0503  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

GOODMAN, COREY S.

DOC DATE: 03/02/1998

ASSIGNOR:

KIDD, THOMAS

DOC DATE: 03/02/1998

ASSIGNOR:

MITCHELL, KEVIN J.

DOC DATE: 03/02/1998

ASSIGNOR:

TEAR, GUY

DOC DATE: 03/09/1998

ASSIGNEE:

CALIFORNIA, UNIVERSITY OF, THE, REGENTS OF  
300 LAKESIDE DRIVE, 22ND FLOOR  
OAKLAND, CALIFORNIA 94612

SERIAL NUMBER: 08971172  
PATENT NUMBER:

FILING DATE: 11/14/1997  
ISSUE DATE:

*Exhibit to Statement  
under 37 CFR 3.73 (6)*

9036/0503 PAGE 2

DOROTHY RILEY, PARALEGAL  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

03-20-1998

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

ET

Attorney Docket No. UCB 98-006



100667696

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Corey S. Goodman, Thomas Kidd, Kevin J. Mitchell and  
Guy TearAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name

Other: \_\_\_\_\_

Execution Date: March 2 and 9, 1998

## 2. Name and address of receiving party(ies):

Name: The Regents of the University of California  
Address: 300 Lakeside Drive, 22 Floor  
Oakland CA 94612Additional name(s) & address(es) attached? ☐ Yes ☒ No

RECEIVED

MAR 02 2004

## 4. Application number(s) or patent number(s): 08/971,172

If this document is being filed together with a new application, the execution date of the application is:

## A. Patent Application No.(s)

08/971,172 filed November 14, 1997

## B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Richard Aron Osman, Ph.D.Address: 75 Denise DriveHillsborough, CA 94010

## 6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$40.00☒ Enclosed☒ Authorized to be charged to deposit account, if necessary

## 8. Deposit account number:

19-0750

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Richard Aron Osman, Ph.D.  
Name of Person Signing  
Signature3/9/98  
DateTotal number of pages including cover sheet: 3

Do not detach this portion

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks  
Box Assignments  
Washington, D.C. 20231

Public burden reporting for this sample cover sheet is estimated to average about 30 minutes per document to be recorded, including time for reviewing the document and gathering the data needed, and completing and reviewing the sample cover sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Office of Information Systems, PK2-1000C, Washington, D.C. 20231, and to the Office of Management and Budget, Paperwork Reduction Project (0651-0011), Washington, D.C. 20503.

ASSIGNMENT

U.C. Case No. B98-006

For good and valuable consideration, the receipt of which is hereby acknowledge,  
ASSIGNOR(S).

1. Corey S. Goodman
2. Thomas Kidd
3. Kevin J. Mitchell
4. Guy Tear

hereby sell(s), assign(s) and transfer(s) to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 300 Lakeside Drive, 22nd Fl., Oakland, CA 94612-3550, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, and any and all improvements which are disclosed in the invention entitled:

*Robo: A Novel Family of Polypeptides and Nucleic Acids*

and which is found in

(a) X U.S. application serial no. 08/971,172, filed on November 14, 1997

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenant(s) that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment:

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said Invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) request(s) the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE. The Regents of the University of California.

executed this

Signature of Inventor(s)

2 day of March, 1998

  
Corey S. Goodman

executed this

Signature of Inventor(s)

2nd day of March, 1998

  
Kevin J. Mitchell

2nd day of Mar, 1998

  
Thomas Kidd

\_\_\_\_ day of \_\_\_\_\_, 1998

\_\_\_\_\_  
Guy Tear

ASSIGNMENTU.C. Case No. B98-006

For good and valuable consideration, the receipt of which is hereby acknowledge.  
ASSIGNOR(S),

1. Corey S. Goodman
2. Thomas Kidd
3. Kevin J. Mitchell
4. Guy Tear

hereby sell(s), assign(s) and transfer(s) to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 300 Lakeside Drive, 22nd Fl., Oakland, CA 94612-3550, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, and any and all improvements which are disclosed in the invention entitled:

*Robo: A Novel Family of Polypeptides and Nucleic Acids*

and which is found in

(a) X U.S. application serial no. 08/971,172, filed on November 14, 1997

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenant(s) that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said Invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) request(s) the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

Signature of Inventor(s)

executed this

Signature of Inventor(s)

\_\_\_\_ day of \_\_\_\_ , 1998

Corey S. Goodman

\_\_\_\_ day of \_\_\_\_ , 1998

Kevin J. Mitchell

\_\_\_\_ day of \_\_\_\_ , 1998

Thomas Kidd

09 day of March, 1998

Guy Tear